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<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER 13173-00025-US U.S. APPLICATION NO. if known (see 37 CFR 1.5) <b>107569022</b>
INTERNATIONAL APPLICATION NO. PCT/EP2004/008623	INTERNATIONAL FILING DATE 31 July 2004	PRIORITY DATE CLAIMED 17 February 2004
TITLE OF INVENTION <b>METHOD FOR PRODUCING KETOCAROTENOIDS IN GENETICALLY MODIFIED, NON-HUMAN ORGANISMS</b>		
APPLICANT(S) FOR DO/EO/US Ralf Flachmann et al.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2))</p> <p>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p>a. <input checked="" type="checkbox"/> is attached hereto.</p> <p>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p>		
<p><b>Items 11 to 20 below concern document(s) or information included:</b></p> <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A preliminary amendment.</p> <p>14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input checked="" type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p>		

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20. <input type="checkbox"/> Other items or information: Form PCT/IPEA/409, Statement To Support Filing And Submission In Accordance With 37 CFR §§1.821 Through 1.825, Nucleotide and/or Amino Acid Sequence Submission on CD (COPY 1, COPY 2, CRF COPY – 3 Discs Total), Postcard, Certificate of Express Mail																																																																																																																												
<table border="1"> <tr> <td colspan="2">The following fees have been submitted</td> <td>CALCULATIONS</td> <td>PTO USEONLY</td> </tr> <tr> <td colspan="2">21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a)).....</td> <td>\$ 300</td> <td></td> </tr> <tr> <td colspan="2">22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....</td> <td>\$ 0</td> <td></td> </tr> <tr> <td colspan="2">All other situations .....</td> <td>\$ 200</td> <td></td> </tr> <tr> <td colspan="2">23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) .....</td> <td>\$ 0</td> <td></td> </tr> <tr> <td colspan="2">Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....</td> <td>\$ 100</td> <td></td> </tr> <tr> <td colspan="2">International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....</td> <td>\$ 400</td> <td></td> </tr> <tr> <td colspan="2">All other situations .....</td> <td>\$ 500</td> <td></td> </tr> <tr> <td colspan="2">TOTAL OF 21, 22 and 23 =</td> <td>\$ 900.00</td> <td></td> </tr> <tr> <td colspan="2"><input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.</td> <td colspan="2" rowspan="2"></td> </tr> <tr> <td>Total Sheets</td> <td>Extra Sheets</td> <td>Number of each additional 50 or fraction thereof (round up to a whole number)</td> <td>RATE</td> </tr> <tr> <td>134 - 100 =</td> <td>34 /50 =</td> <td>1</td> <td>x \$250.00</td> </tr> <tr> <td colspan="2">Surcharge of \$130 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).</td> <td>\$</td> <td></td> </tr> <tr> <td colspan="2">CLAIMS</td> <td>NUMBER FILED</td> <td>NUMBER EXTRA</td> <td>RATE</td> </tr> <tr> <td colspan="2">Total claims</td> <td>12 - 20 =</td> <td>x</td> <td>0.00</td> </tr> <tr> <td colspan="2">Independent claims</td> <td>2 - 3 =</td> <td>x</td> <td>0.00</td> </tr> <tr> <td colspan="2">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td></td> <td>+</td> <td></td> </tr> <tr> <td colspan="4">TOTAL OF ABOVE CALCULATIONS =</td> <td>\$ 1,150.00</td> </tr> <tr> <td colspan="5"><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by ½.</td> </tr> <tr> <td colspan="5">SUBTOTAL = \$ 1,150.00</td> </tr> <tr> <td colspan="5">Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).</td> </tr> <tr> <td colspan="5">TOTAL NATIONAL FEE = \$ 1,150.00</td> </tr> <tr> <td colspan="5">Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + \$</td> </tr> <tr> <td colspan="5">\$</td> </tr> <tr> <td colspan="4">TOTAL FEES ENCLOSED =</td> <td>\$ 1,150.00</td> </tr> <tr> <td colspan="4">Amount to be refunded:</td> <td>\$</td> </tr> <tr> <td colspan="4">Amount to be charged</td> <td>\$</td> </tr> </table>			The following fees have been submitted		CALCULATIONS	PTO USEONLY	21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a)).....		\$ 300		22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....		\$ 0		All other situations .....		\$ 200		23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) .....		\$ 0		Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....		\$ 100		International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....		\$ 400		All other situations .....		\$ 500		TOTAL OF 21, 22 and 23 =		\$ 900.00		<input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). 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PTO-1390 (Rev. 07-2005)

Approved for use through 03/31/2007. OMB 0651-0021

Approved for use through September 30, 2007. GPO:2004-108-000  
U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

a.  A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.

b.  Please charge my Deposit Account No. 03-2775 in the amount of \$ 1,150.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-2775. A duplicate copy of this sheet is enclosed.

d.  Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038

**NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.**

SEND ALL CORRESPONDENCE TO:

Robert Makowski  
SIGNATURE

**SIGNATURE**

Roberte M. D. Makowski, Ph.D.

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**NAME**

CUSTOMER NUMBER: 23416

55,421



10/569022  
IAP12 FEB 17 2006 10:17:03 2006

Application No. (if known): Not Yet Assigned

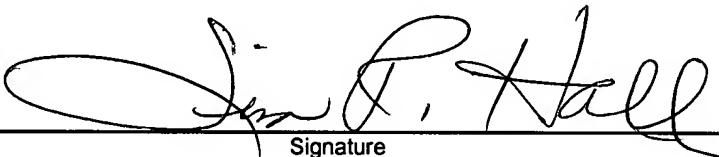
Attorney Docket No.: 13173-00025-US

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Signature

Tina R. Hall

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Registration Number, if applicable

Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Transmittal Letter to the United States Designated-Elected Office (3 pages)  
Fee Transmittal (1 page)  
Application Data Sheet (5 pages)  
Copy of the International application with search report (Form PCT/ISA/210) attached  
Form PCT/IPEA/409 (7 pages)  
English language translation of the International application (134 pages)  
Statement To Support Filing And Submission In Accordance With 37 CFR §§1.821 Through 1.825 (2 pages)  
Nucleotide and/or Amino Acid Sequence Submission on CD (COPY 1, COPY 2, CRF COPY – 3 Discs Total)  
Executed Combined Declaration and Power of Attorney (5 pages)  
Preliminary Amendment (8 pages)  
Information Disclosure Statement (2 pages), SB08 (2 pages)  
Copies of references (16)  
Postcard, Certificate of Express Mailing (1 page)  
Authorization to charge \$1,150.00 to deposit account 03-2775

Docket No.: 13173-00025-US  
(PATENT)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Ralf Flachmann et al.

Conf. No.: Not yet assigned

Application No.: Not yet assigned

Group Art Unit: Not yet assigned

Filed: Concurrently herewith

Examiner: Not Yet Assigned

For: **METHOD FOR PRODUCING  
KETOCAROTENOIDS IN GENETICALLY  
MODIFIED, NON-HUMAN ORGANISMS**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**STATEMENT TO SUPPORT FILING AND SUBMISSION  
IN ACCORDANCE WITH 37 CFR §§1.821 THROUGH 1.825**

- 37 C.F.R. §1.821(f)** - I hereby state that the information recorded in computer readable form is identical to the written (on paper or compact disc) Sequence Listing submitted herewith.
- 37 C.F.R. §1.52(e)(4)** - I hereby state that the two compact discs are identical.
- 37 C.F.R. 1.821(g)** - I hereby state that the submission, filed in accordance with 37 C.F.R. 1.821(g), herein does not include new matter.
- 37 C.F.R. §1.821(h)** - I hereby state that the submission, filed in accordance with 37 C.F.R. §1.821(h), herein does not include new matter or go beyond the disclosure in the international application.
- 37 C.F.R. §1.825(a)** - I hereby state that the amendments, made in accordance with 37 C.F.R. §1.825(a), included in the substitute sheet(s) or compact disc(s) of the Sequence Listing are supported in the application, as filed, at \_\_\_\_\_. I hereby state that the substitute sheet(s) of the Sequence Listing does (do) not include new matter.
- 37 C.F.R. §1.825(b)** - I hereby state that the substitute copy of the computer readable form, submitted in accordance with 37 C.F.R. §1.825(b), is the same as the amended Sequence Listing.

**37 C.F.R. §1.825(d)** - I hereby state that the substitute copy of the computer readable form, submitted in accordance with **37 C.F.R. §1.825(d)**, is identical to that originally filed.

Respectfully submitted,

By Roberte Makowski

Roberte M. D. Makowski, Ph.D.

Registration No.: 55,421

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